



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Hirofumi ENDO et al.

Group Art Unit : 1652

Appl. No. : 09/869,334

Examiner : Delia M. RAMIREZ

Filed : September 26, 2001

Confirmation No. : 5711

For : PROCESS FOR PRODUCING HMG-CoA REDUCTASE  
INHIBITOR

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
U.S. Patent and Trademark Office  
Customer Window, Mail Stop AMENDMENT  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir :

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and  
§§1.97-1.98, Applicants hereby call to the Examiner's attention the following  
documents:

U.S. Patent Application No. 09/868,924 to HASHIMOTO et al., which was  
filed on October 31, 2001;

U.S. Patent No. 5,942,423;

International Patent Application Publication No. WO 99/60151;

T. OKAZAKI et al., The Journal of Antibiotics, Vol. 36, No. 9, September  
1983, pp. 1176-1183;

ATCC Website, downloaded from

<http://www.atcc.org/SearchCatalogs/Bacteria.cfm>;

International Patent Application Publication No. WO 99/07872, together with patent family member U.S. Patent No. 6,245,535;

International Patent Application Publication No. WO 99/10499;

N. SERIZAWA, Biotechnology Annual Review, Vol. 2, 1996, pp. 373-389;

U.S. Patent No. 4,537,859;

U.S. Patent No. 6,043,064; and

International Patent Application Publication No. WO 00/44886, together with patent family member European Patent Application Publication No. EP 1 148 122.

Further to 37 C.F.R. §1.98 (a)(2)(ii), copies of the U.S. patents are not enclosed herewith. However, if any copies are needed, the Examiner is respectfully requested to contact the undersigned.

Applicants respectfully request that the Examiner consider the above material and cite the same. Copies of the above-noted foreign documents and journal articles are attached hereto and all of the documents are listed on the attached PTO-1449 Form. The Examiner is requested to initial the appropriate spaces on the attached Form and to return a copy of the completed Form to Applicants with the next official communication in the present application.

Further, Applicants note that since this Supplemental Information Disclosure Statement is being submitted subsequent to the issuance of an Office Action on the merits, Applicants have included herewith a check in the amount of \$180.00 to cover the fee set forth in 37 C.F.R. §1.17 (p). However, the Commissioner is hereby authorized to charge payment of any necessary

additional fees associated with this communication or credit any overpayment to  
Deposit Account No. 19-0089.

Should the Examiner have any questions, the Examiner is invited to  
contact the undersigned at the below-listed telephone number.

Respectfully Submitted,  
Hirofumi ENDO et al.

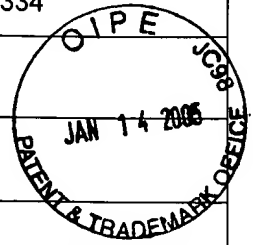


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FORM PTO-1449

U.S. Department of Commerce  
Patent and Trademark OfficeAtty. Docket No.  
P21289Application No.  
09/869,334INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT  
(Use several sheets if necessary)Applicant  
Hirofumi ENDO et al.Filing Date  
September 26, 2001Group  
1652

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |  | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | NAME            | CLASS | SUBCLASS | FILING DATE<br>IF<br>APPROPRIATE |
|---------------------|--|-----------------|---|---|---|---|---|---|----------|-----------------|-------|----------|----------------------------------|
|                     |  | 5               | 9 | 4 | 2 | 4 | 2 | 3 | 08/24/99 | DEMAIN et al.   |       |          |                                  |
|                     |  | 6               | 2 | 4 | 5 | 5 | 3 | 5 | 06/12/01 | TAKANO et al.   |       |          |                                  |
|                     |  | 4               | 5 | 3 | 7 | 8 | 5 | 9 | 08/27/85 | TERAHARA et al. |       |          |                                  |
|                     |  | 6               | 0 | 4 | 3 | 0 | 6 | 4 | 03/28/00 | DAVIS et al.    |       |          |                                  |
|                     |  |                 |   |   |   |   |   |   |          |                 |       |          |                                  |
|                     |  |                 |   |   |   |   |   |   |          |                 |       |          |                                  |
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## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |  |
|--|----|-----------------|---|---|---|---|---|---|----------|---------|-------|----------|-----------------------|--|
|  | 99 | /               |   | 6 | 0 | 1 | 5 | 1 | 11/25/99 | W.I.P.O |       |          |                       |  |
|  | 99 | /               |   | 0 | 7 | 8 | 7 | 2 | 02/18/99 | W.I.P.O |       |          |                       |  |
|  | 99 | /               |   | 1 | 0 | 4 | 9 | 9 | 03/04/99 | W.I.P.O |       |          |                       |  |
|  | 00 | /               |   | 4 | 4 | 8 | 8 | 6 | 08/03/00 | W.I.P.O |       |          |                       |  |
|  |    | 1               | 1 | 4 | 8 | 1 | 2 | 2 | 10/24/01 | E.P.O   |       |          |                       |  |
|  |    |                 |   |   |   |   |   |   |          |         |       |          |                       |  |
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|  |    |                 |   |   |   |   |   |   |          |         |       |          |                       |  |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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|--|---|---|
|  | 1 | U.S. Patent Application No. 09/868,924 to HASHIMOTO et al.  |
|  | 2 | T. OKAZAKI et al., The Journal of Antibiotics, Vol. 36, No. 9, September 1983, pp. 1176-1183.   |
|  | 3 | ATCC Website, downloaded from <a href="http://www.atcc.org/SearchCatalogs/Bacteria.cfm">http://www.atcc.org/SearchCatalogs/Bacteria.cfm</a> . |
|  | 4 | N. SERIZAWA, Biotechnology Annual Review, Vol. 2, 1996, pp. 373-389.  |
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EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.